OMB CONTROL NUMBER: 1651-0083
EXPIRATION DATE: 06/30/2020

DEPARTMENT OF HOMELAND SECURITY
U.S. Customs and Border Protection

United States-Caribbean Basin Trade Partnership Act (CBTPA)
CERTIFICATE OF ORIGIN

19 CFR 10.234, 10.236

See Reverse for Instructions and a list of the tariff items with which this certificate may be used.

For the purpose of obtaining preferential tariff treatment for goods of the Caribbean Basin beneficiary countries, this document must be completed legibly and in full by the exporter and be in the possession of the importer at the time the CBTPA claim is made. The producer may voluntarily complete a certificate for use by the exporter in filling out their own certificate.
Note: The purchase of a good in the Caribbean Basin beneficiary countries does not render it originating. If the origin of the good cannot be determined, the exporter must assume that the good does not originate.

PLEASE PRINT OR TYPE. SEE INSTRUCTIONS ON REVERSE.

1. Exporter's Name and Address	**2. COMPLETE EITHER 2a or 2b** 2a) Single Importation | Invoice or other unique reference number 2b) Blanket Period From: To:
3. Producer's Name and Address	4. Importer's Name and Address

5. Description of goods and processing activities	6. HS Tariff Classification Number	7. Preference Criterion (A-D)	8. Producer/ Basis of Knowledge	9. Regional Value Content	10. Country of Origin

11. I certify that:

- **the information on this document is true and accurate and I assume the responsibility for proving such representations. I understand that I am liable for any false statements or material omissions made on or in connection with this document;**
- **I agree to maintain, and present upon request, documentation necessary to support this Certificate, and to inform, in writing, all persons to whom the Certificate was given of any changes that could affect the accuracy or validity of this Certificate;**
- **the goods originated in the territory of one or more of the Caribbean Basin beneficiary countries and comply with the origin requirements specified for those goods in the North American Free Trade Agreement, and unless specifically exempted in Article 411 or Annex 401*, there has been no further production or any other operation outside the territories of the Parties; and**
- **this Certificate consists of _____ pages, including all attachments.**

Authorized Signature and Date	Name *(Last, First, Middle Initial)* and Title
Company	Telephone | Fax

PAPERWORK REDUCTION ACT NOTICE: This request is in accordance with the Paperwork Reduction Act. We ask for the information in order to carry out the laws and regulations administered by the U.S. Customs and Border Protection. This form is used by exporters/importers for the purpose of obtaining preferential tariff treatment for goods of the Caribbean Basin beneficiary countries. It is mandatory. The estimated average burden associated with this collection of information is 15 minutes per responds depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to U.S. Customs and Border Protection, Asset Management, Washington, DC 20229, and to the Office of Management and Budget, Paperwork Reduction Project (1651-0083), Washington, DC 20503.

The following Harmonized Tariff Schedule (HTS) item numbers are eligible for Preferential Tariff Treatment under the Caribbean Basin Trade Partnership Act. For a detailed description of each tariff item number below, please refer to the current edition of the Harmonized Tariff Schedule of the United States. The following list is broken out by headings with HTS description (for reference only), proceeded by the specific tariff items eligible for Preferential Tariff Treatment. ***Do not use this certificate with HTS item numbers not included in the below list.***

1604 Prepared or preserved fish; caviar & caviar substitutes prepared from fish eggs:
1604.14.10-.30

2709 Petroleum oils and oils obtained from bituminous materials, crude:
2709.00.10-.20

2710 Petroleum oils and oils obtained from bituminous, minerals, other than crude; preparations not elsewhere specified or included, containing by weight 70 percent or more of petroleum oils or of oils obtained from bituminous minerals, these oils being the basic constituents of the preparations:
2710.11.15-.45

4202 Trunks, suitcases, vanity cases, attache cases, briefcases, school satchels, ... and similar containers, of leather or of composition leather, of sheeting of plastics, of textile materials, of vulcanized fiber, or of paperboard, or wholly or mainly covered with such materials or with paper:

4202.11.00	4202.19.00	4202.22.15	4202.31.60	4202.92.45
4202.12.20	4202.21.30-.90	4202.29.90	4202.91.00	4202.99.90

4203 Articles of apparel and clothing accessories, of leather or of composition leather:

4203.10.40	4203.29.08	4203.29.18

4602 Basketwork, wickerwork and other articles, made directly to shape from plaiting materials or made up from articles of heading 4601; articles of loofah:

4602.10.21-.22	4602.10.25-.29

6401 Waterproof footwear with outer soles and uppers of rubber or plastics, the uppers of which are neither fixed to the sole nor assembled by stitching, riveting, nailing, screwing, plugging or similar processes:

6401.10.00	6401.91.00	6401.92.60-.90	6401.99.30-.60	6401.99.90

6402 Other footwear with outer soles & uppers of rubber or plastics:

6402.19.05-.15	6402.19.50-.90	6402.30.30-.90	6402.91.40-.90	6402.99.05-.90

6403 Footwear with outer soles of rubber, plastics, leather or composition leather and uppers of leather:

6403.19.10	6403.40.30-.60	6403.59.15-.90	6403.99.20-.90
6403.19.30-.50	6403.51.30-.90	6403.91.30-.90	

6404 Footwear with outer soles of rubber, plastics, leather or composition leather and uppers of textiles materials:

6404.11.20-.90	6404.19.15-.90	6404.20.20-.60	

6405 Other footwear:

6405.10.00	6405.20.30	6405.20.90	6405.90.90

6406 Parts of footwear (including uppers whether or not attached to soles other than outer soles); removable insoles, heel cushions and similar articles; gaiters, leggings and similar articles, and parts thereof:

6406.10.05-.20	6406.10.45-.50

9101 Wrist watches, pocket watches and other watches..., with cases of precious metal or of metal clad with precious metal:

9101.11.40-.80	9101.21.10-.30	9101.29.10-.80
9101.19.40-.80	9101.21.80	9101.99.40

9102 Wrist watches, pocket watches and other watches, other than those of heading 9101:

9102.11.10-.95	9102.21.10-.90	9102.91.20-.80	
9102.19.20-.80	9102.29.02-.60	9102.99.20-.80	

9108 Watch movements, complete and assembled:

9108.11.40-.80	9108.19.40-.80	9108.90.90-.95
9108.12.00	9108.80.10-.80	

9110 Complete watch....movements, unassembled or partly assembled...; incomplete watch...movements, assembled; rough watch...movements:

9110.11.00	9110.12.00	9110.19.00

9111 Watch cases and parts thereof:

9111.10.00	9111.20.20-.40	9111.80.00	9111.90.40-.70

9113 Watch bands, watch straps and watch bracelets, and parts thereof:

9113.10.00	9113.20.20-.90	9113.90.40-.80

9114 Other...watch parts:

9114.10.40	9114.40.20	9114.90.15
9114.30.40-.80	9114.40.60	9114.90.40

INSTRUCTIONS

Field 1 State the full legal name and address (including country) of the exporter. If a producer completes the certificate, indicate "N/A". (Definition of exporter: NAFTA Article 514)

Field 2 (a & b) 2a - *Complete field* if the Certificate covers a single shipment of a good by providing the invoice number shown on the commercial invoice.
2b - *Complete field* if the Certificate covers multiple shipments of identical goods as described in Field 5 that are imported into the United States for a specified period of up to one year (blanket period). "FROM" is the date upon which the Certificate becomes applicable to the good covered by the blanket Certificate. (The "FROM" date may be prior to the date of signing this Certificate; however, the signed Certificate must be in the possession of the importer at the time the claim for preferential tariff treatment is made.) "TO" is the date upon which the blanket period expires. The importation of a good for which CBTPA preferential tariff treatment is claimed based on this Certificate must occur between these dates. (Definition of identical: NAFTA Article 514)

Field 3 State the full legal name and address (including country). If more than one producer's good is included on the Certificate, state "VARIOUS" and attach a list of all producers, including the legal name and address (including country). If you wish this information to be confidential, it is acceptable to state "Available to CBP upon request". If the producer and the exporter are the same, complete field with "SAME". (Definition of producer: NAFTA Article 415)

Field 4 State the full legal name and address (including country). If the importer is not known at the time the Certificate is completed, or if there are multiple importers, it is acceptable to state "Available to CBP upon request". If a producer who is not also the exporter completes this Certificate, indicate "N/A".

Field 5 Provide a full description of each good and the processing activities used to manufacture the good within the beneficiary country or countries. The description should be sufficient to relate it to the invoice description and to the Harmonized System (HS) description of the good.

Field 6 For each good described in Field 5, identify the HS tariff classification to six digits. If the good is subject to a specific rule of origin in Annex 401* that requires eight digits, identify to eight digits, using the HS tariff classification of the country into whose territory the good is imported.

Field 7 For each good described in Field 5, state which criterion (A through D, as defined in NAFTA Article 401) is applicable.

Preference Criteria (A -D) Please refer to the Articles / Annexes of the North American Free Trade Agreement (NAFTA) for exact text.

A The good is "wholly obtained or produced entirely" in the territory of one or more of the CBTPA countries, as defined in NAFTA Article 415. **Note:** This criterion does not include 'de minimis' claims.

B The good contains some non-originating materials, is produced entirely in the territory of one or more of the CBTPA countries and satisfies the specific rule of origin, set out in Annex 401*, that applies to its tariff classification. The rule may include a tariff classification change, regional value-content requirement or a combination thereof. The good must also satisfy all other applicable requirements of Chapter Four.

C The good is produced entirely in the territory of one or more of the CBTPA countries exclusively from originating materials. All materials used in the production of the good must qualify as "originating" by meeting the preference criteria A-D.

D Goods are produced in the territory of one or more of the CBTPA countries but does not meet the applicable rule of origin, set out in Annex 401*, because certain non-originating materials do not undergo the required change in tariff classification. The goods do nonetheless meet the regional value-content requirement specified in Article 401(d).

1. the good was imported in the territory of a CBTPA country in an unassembled or disassembled form but was classified as an assembled good, pursuant to HS General Rule of Interpretation 2(a); or
2. the good incorporated one or more non-originating materials, provided for as parts under the HS, which could not undergo a change in tariff classification because the heading provided for both the good and its parts and was not further subdivided into subheadings, or the subheading provided for both the good and its parts.

Field 8 For each good described in Field 5, state "YES" if you are the producer of the good. If you are not the producer of the good state "NO" followed by (1) or (2), depending on whether this certificate was based upon: (1) your reliance on the producer's written representation (other than a Certificate of Origin) that the good qualifies as an originating good; or (2) a completed and signed Certificate of Origin for the good, voluntarily provided to the exporter by the producer.

Field 9 For each good described in Field 5, where the good is subject to a regional value content (RVC) requirement, if the RVC is calculated according to the Transaction Value Method, indicate "TV"; if the RVC is calculated over a period of time according to the Net Cost Method, indicate "NC" and identify the beginning and ending dates (MM/DD/YYYY); if no RVC is used, indicate "No". (Reference: NAFTA Articles 402.1, 402.5)

Field 10 For each good described in Field 5, indicate the country of origin as per 19 CFR Part 134 and 19 CFR 10.195 (CBI Origination rules), except for textile and apparel articles, whose origin shall be determined as per 19 CFR 102.21.

Field 11 This field must be completed, signed and dated by the exporter. When the Certificate is completed by the producer for the use by the exporter, it must be completed, signed and dated by the producer. The date must be the date the Certificate was completed and signed. The signed Certificate must be in the possession of the importer at the time the claim for CBTPA preferential tariff treatment is made. For CBTPA claims made after importation, the date of the Certificate may be subsequent to the date of the importation of the goods. (Reference: NAFTA Article 502.3)

Annex 401* Please refer to the Harmonized Tariff Schedule of the United States, General Note 12.